U.S. DEPARTMENT OF TRANSPORTATION PERFORMANCE APPRAISAL PLAN

	Section 1 IDENTIFY	ING INFORMATION	
Name (Last, First, MI) Hauer, Susan H.		Position Title/Pay Plan/Series/Grade Safety & Occupational Health Manager/GS/0018/1.1	
Organization and Location SLSDC/Office of Engineering and Maintenance		Supervisory	✓ Non-Supervisory
Appraisal Period		From: 06/01/2014	To: 05/31/2015
Sect	ion 1-A PERFORMA	NCE PLAN DISCUSSION	
Signatures certify that the plan was di	scussed with the employe	e and the employee was provided	l a copy of this plan.
Employee Signature	NEDWIN XI	will	7 74-15
Rating Official Signature			Date 7/24/15
Reviewing Official Signature (if			Date -1/24/15
Employee Input into Development			employeé involvement):
para terrangs sections in the augm	Section 1-B MI	D-YEAR REVIEW	
Signatures certify that the employee's	progress toward meeting	the job performance expectation	ns was discussed with the
employee. Section 4 may be used to	document the Progress Re	view.	Date
Employee Signature	A		
Rating Official Signature	'A		Date
Section 1-C S	UMMARY PERFORM	MANCE RATING DETERM	INATION
To assign the summary performance r	ating, select the highest le	evel met based on the applicable	criteria (see OA instructions).
Outstanding			
☐ Exceeded Expectations			
Achieved Results			
☐ Unacceptable			
	ual Rating of Record loyee Leaving Agency	☐ Employee Reassigned ☐ Other (Specify)	Within-Grade Increase
	Section 1-D ACK	NOWLEDGEMENT	
I acknowledge receipt of this rating; he rating received or that I forfeit any rig	owever, my signature on t hts of review.	this form does not Imply agreeme	ent or disagreement with the
Employee Signature	152m/8m	UL-	Date 7-74-15
Rating Official Signature			Date 7/24/15
Reviewing Official Signature di	applicable		Date 7/24/15

THIS FORM IS SUBJECT TO THE PROVISION OF THE PRIVACY ACT of 1974 (P.L. 93-579; 88 Statute 1886). The original form must be retained in the Employee Personnel File for 4 years. (April 2011)

Section 2 ACKN	OWLEDGEMENT	
The employee's performance plan must include at least one critigoals or objectives.		A, and/or organization/unit
Enter appropriate DOT/OA/Organization/Unit strate	gic goal(s):	
DOT Goal - Enhance public health and safety by working to	oward the elimination of trans	
SLSDC Goal - Promote navigation and workplace safety, se incidents and employee injuries, increasing protection of	ecurity and environmental pro facilities and preventing envir	stection by reducing vessel onmental incidents.
Continu 2 A	OB ELEMENT	
	Non-Critical	Weight: 20%
Element 3 of 4	lovee that supports the achieven	nent of the goal(s)/objective(s)
Element: Education and Training - Manages safety/health monitors improvements in safety equipment and procedu with contractors to supplement in-house educational and orientations; and coordinates employee "tool-box" safety	n/environmental educational res; develops and presents pr training resources; conducts i	and training programs; rogram curriculum; works
1. Typically prepared to answer technical questions regard programs are timely, effective and meet current regulator are reviewed and coordinated with management and emproperly documented and updated regularly. "Tool-box" swith supervisors.	ry and policy requirements. Co ployees. Employee requireme	ontractor provided programs ents and participation are
Section 2-B JOB ELEMENT P	ERFORMANCE STANDARD	(S)
Outstanding - The employee's performance has added val to mission accomplishment. The quality, quantity or timel Exceeded Expectations standard and rarely leave room for	iness of the employee's work	ade significant contributions have clearly exceeded the
Exceeded Expectations: The employee's performance has by the performance targets and has exceeded expectation employee's work is consistently above average.	surpassed what is expected in the major goals. The quality,	n this job element as defined quantity or timeliness of the
Achieved Results: The employee's work practices fully me good, sound performance and positive response of the en quantity or timeliness of the employee's work represents	nployee in accomplishing assi	gnments. The quality,

	Section 2-C JOB	ELEMENT RATING	
Outstanding	☑ Exceeded Expectations	☐ Achleved Results	☐ Unacceptable
S In support of the rating above, additional space is needed, ple	describe specific examples of ac	JMMARY OF PERFORMANC tual performance above or below	CE the Achleved Results level, If
requirements and existing co concerns or sought out guida unexpectedly tasked with main inspection and a hazardous to	ompliance trends with emplo ance or references in a timel anaging a NYS Department o waste generator report. Botl o appropriately respond to th ssfully completed the require	ongoing projects, daily work a yees and contractors. Sue app y manner to provide clarification f Conservation (NYSDEC) hazar n of these tasks required her to be the regulators. Sue coordinated inspections, reports and cor	ons as needed. Sue was rdous waste compliance o investigate historical ated closely with engineering
,			

	Section 2-C JOB	LEMENT RATING	
Outstanding	☐ Exceeded Expectations	✓ Achleved Results	Unacceptable
	Section 2-D NARRATIVE SU	MMARY OF PERFORMA	NCE
additional space is needed	Section 2-D NARRATIVE 50 pove, describe specific examples of act d, please provide attachment(s).		
existing policies and proconfined space and haza apparent, and her initia of the safety committee organizational skills and	ns in this position, she was primarily ocedures and other ongoing regular ardous waste disposal. Her expering evaluations and recommendations and implemented changes included in the commentation of the Corporation. She devolumentations with her supervisors	ence with safety and envir ns were appropriate and th ing a safety concern tracki procedures needed to mee eloped a good rapport witi	onmental programs was norough. Sue assumed the chair ng sheet. Sue exhibited good at the duties of her position and
		4	

Section 2 ACKNOWLEDGEWENT The employee's performance plan must include at least one critical element aligned with DOT, OA, and/or organization/unit plant or objectives. Enter appropriate DOT/OA/Organization/Unit strategic goal(s): Enter appropriate DOT/OA/Organization/Unit strategic goal(s): Enter appropriate DOT/OA/Organization/Unit strategic goal(s): SISDC Goal - State Of Good Repair: Ensure the U.S. proactively maintains its critical transportation infrastructure in a state of good repair. SISDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway. Section 2-A JOB ELEMENT Element 1 of 4	Section 2 ACKNOWLEDGEMENT	and/or organization/uple
Element 1 of 4 Critical Monter of the primary work assignment or responsibility of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. but ensuring that plans and decisions sustain long-term reliability and sustain supports the achievement of the goal(s)/objective(s) labove per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets. above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets. Beautions and regulations per instructions. Additional procedures; serves as chair for monthly safety and health committee; prepares reports a guidelines for policies and procedures; serves as chair for monthly safety and health committee; prepares reports a guideline for policies and procedures; serves as chair for monthly safety and procedures. Proposed guideline revisions are feasible and include input are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management	he employee's performance plan must include at least one critical element aligned with DOT, OA,	and/or organization/arm
DOT Goal - State Of Good Repair: Ensure the U.S., proactively maintains its critical during state of good repair. State of good repair. Stone Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway. Section 2-A JOB ELEMENT Element 1 of 4	coals or objectives.	
State of good repair. SLEDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Dawrence Seaway. Section 2-A JOB ELEMENT Section 2-B JOB ELEMENT Mon-Critical Weight: 30%	Enter appropriate DOT/OA/Organization/Only strategic goding.	rtation infrastructure in a
State of good repair. SISDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Dawrence Seaway. Section 2-A JOB ELEMENT Section 2-B JOB ELEMENT Element 1 of 4	OT Goal - State Of Good Repair: Ensure the U.S. proactively maintains its critical was a pro-	
Element 1 of 4	tate of good repair. SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viabil By ensuring that plans and decisions sustain long-term reliability and availability of the U.	Ity of the Seaway System
Element 1 of 4	Section 2-A JOB ELEMENT	
Insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) insert the primary work assignment or responsibility of the employee that supports the achievement of the goal(s)/objective(s) above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets. Element: Policies and Procedures - Analyzes Federal, State and local laws and regulations (i.e. DOT, OSHA, NYSDEC) evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revised evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revolved evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revolved evaluates for policies and procedures; serves as chair for monthly safety and health committee; prepares reports a guideline for progress and issues. 1. Typically prepared to answer technical questions regarding regulations, policies and procedures. Evaluations are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management and employees as required. Safety and health committee meetings are conducted regularly and action items are effectively coordinated. Reports and communications are substantially complete, accurate and timely. Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S) Outstanding - The employee's performance has added value to the organization and made significant contribution to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as define by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requir		Weight: 30%
Element: Policies and Procedures - Analyzes Federal, State and local laws and regulators have available evaluates impact of safety/health/environmental regulatory changes on facilities and operations; prepares revised guidelines for policies and procedures; serves as chair for monthly safety and health committee; prepares reports a required; communicates policy and procedural changes; and keeps supervisor informed of progress and issues. 1. Typically prepared to answer technical questions regarding regulations, policies and procedures. Evaluations are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input are thorough with no major requirements overlooked. Proposed guideline revisions are feasible and include input from management and employees as required. Safety and health committee meetings are conducted regularly and action items are effectively coordinated. Reports and communications are substantially complete, accurate and timely. Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S) Outstanding - The employee's performance has added value to the organization and made significant contribution to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as define by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate	Element 1 of 4 [1] Critical like the employee that supports the achievement or responsibility of the employee that supports the achievement of the primary work assignment or responsibility of the employee that supports the lements through the attached using additional Section 2 Job	ent of the goal(s)/objective(s) Element sheets.
Outstanding - The employee's performance has added value to the organization and made significant contribution to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement. Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as define by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate	guidelines for policies and procedures; serves as char to policies and procedured; communicates policy and procedural changes; and keeps supervisor informed 1. Typically prepared to answer technical questions regarding regulations, policies and pare thorough with no major requirements overlooked. Proposed guideline revisions are from management and employees as required. Safety and health committee meetings action items are effectively coordinated. Reports and communications are substantially	of progress and issues. rocedures. Evaluations feasible and include input are conducted regularly and
Outstanding - The employee's performance has added value to the organization and made significant contribution to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement. Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as define by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate	Section 2-B JOB ELEMENT PERFORMANCE STANDARD	(5)
Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as define by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate	and mi	ade significant contributions
Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity or timeliness of the employee's work represents that of a fully competent employee.	to mission accomplishment. The quanty, quantity of this improvement. Exceeded Expectations standard and rarely leave room for improvement.	have clearly exceeded the
	Exceeded Expectations standard and rately leave room to suppose the Exceeded Expectations: The employee's performance has surpassed what is expected in by the performance targets and has exceeded expectations in major goals. The quality, employee's work is consistently above average.	n this job element as defined quantity or timeliness of the
	Exceeded Expectations: The employee's performance has surpassed what is expected in by the performance targets and has exceeded expectations in major goals. The quality, employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the elements of the elements.	n this job element as defined quantity or timeliness of the ement and demonstrate ignments. The quality,
	Exceeded Expectations: The employee's performance has surpassed what is expected in by the performance targets and has exceeded expectations in major goals. The quality, employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the elements of the elements.	n this job element as defined quantity or timeliness of the ement and demonstrate ignments. The quality,
i de la companya de	Exceeded Expectations: The employee's performance has surpassed what is expected in by the performance targets and has exceeded expectations in major goals. The quality, employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the elements of the elements.	n this job element as defined quantity or timeliness of th ement and demonstrate ignments. The quality,
	Exceeded Expectations: The employee's performance has surpassed what is expected in by the performance targets and has exceeded expectations in major goals. The quality, employee's work is consistently above average. Achieved Results: The employee's work practices fully meet the requirements of the elements of the elements.	n this job element as defined quantity or timeliness of the ement and demonstrate ignments. The quality,

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Section 2 ACKNOWLEDGEMENT
The employee's performance plan must include at least one critical element aligned with DOT, OA, and/or organization/unit goals or objectives.
Enter appropriate DOT/OA/Organization/Unit strategic goal(s):
DOT Goal - Enhance public health and safety by working toward the elimination of transportation-related deaths
and injuries.
SLSDC Goal - Promote navigation and workplace safety, security and environmental protection by reducing vessel incidents and employee injuries, increasing protection of facilities and preventing environmental incidents.
Section 2-A JOB ELEMENT
Element 4 of 4
above per instructions. Additional job elements should be attached using additional Section 2 Job Element sheets.
Element: Accidents, Illnesses or Injuries - Investigates safety/health/environmental incidents; evaluates,
recommends and coordinates corrective actions; prepares required documents and reports (i.e. incident reports,
OSHA 300/300A, DOT survey); and manages occupational health conservation programs.
4 E. L. J. Charles at the control of
1. Employee incident investigations are coordinated with supervisors. Root causes are properly evaluated and
recommended corrective actions are feasible and timely. Trending data is effectively used when recommending policy and procedural changes. Documents and reports are accurate and reviewed with safety and health
committee. Occupational health conservation programs are closely coordinated with employees and contractors.
Employee screenings and required follow-up procedures are properly documented and updated regularly.
employee screenings and required follow-up procedures are properly documented and appared regularly.
Section 2-B JOB ELEMENT PERFORMANCE STANDARD(S)
Outstanding - The employee's performance has added value to the organization and made significant contributions to mission accomplishment. The quality, quantity or timeliness of the employee's work have clearly exceeded the Exceeded Expectations standard and rarely leave room for improvement.
Exceeded Expectations: The employee's performance has surpassed what is expected in this job element as defined by the performance targets and has exceeded expectations in major goals. The quality, quantity or timeliness of the
by the performance targets and has exceeded expectations in major goals. The quality, quantity of timeliness of the employee's work is consistently above average.
Achieved Results: The employee's work practices fully meet the requirements of the element and demonstrate
good, sound performance and positive response of the employee in accomplishing assignments. The quality,
quantity or timeliness of the employee's work represents that of a fully competent employee.

Section 3 T	RAINING IDENTIFICATION AND CAREER DEVELOPMENT (Optional)
Identify technical and/or mana	igement training that could assist the employed in improving job performance. This may also be discuss and note developmental assignments, cross training, or other career development epare this employee to meet the needs of the organization. This section is optional based on OA
program guldance.	
	ction 4 MID-YEAR REVIEW DOCUMENTATION (Optional)
58	pervisor and employee to document discussions at the mid-point progress review to note
changes in the performance pl Improvement. Signatures show	an and to record comments. Please note any areas in which the individual has excelled or needs
improvement. Signatures snot	nd be jiaced in section 1-o.
Section 5 RATING	OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)
Provide narrative comments fr that contributed to the QA's vi	om the rating official or employee regarding accomplishments during this performance period sion, mission, and goals. If more space is needed, attach additional sheets as necessary or attach
documents.	

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	Section 2-C JOB I	ELEMENT RATING	
☐ Outstanding	☐ Exceeded Expectations	✓ Achieved Results	☐ Unacceptable
\$	Section 2-D NARRATIVE SU	MMARY OF PERFORMANC	the Achieved Results level. If
additional space is needed, ple			
programs including new em developed and presented re	le for becoming familiar with to ployee orientations. She evaluations at the equired training sessions at the ented changes to existing safetorm. Sue's rapport with the enternal statements.	e annual employee awareness y procedures to improve emp	workshops. She also ployee safety including a
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		•	
		,	

	Section 2-C JOB	ELEMENT RATING	
	T Exceeded Expectations	Achleved Results	Unacceptable
Outstanding	Section 2-D NARRATIVE SU	MMARY OF PERFORMA	NCE
the state of the s	have describe specific examples of ac	tual performance above or be	low the Achieved Results level. II
n support of the rating a	ed, please provide attachment(s).		
ue was primarily resp and employee occupa eports and presented	consible for becoming familiar with tional health conservation program I timely updates to the safety comr icipation in the annual hearing con mual DOT incident survey report.	the Corporation's existing is. She reviewed ongoing is nittee. Sue worked closely servation screening progra	incident policies and procedures ncident investigations and with supervisors to improve m. She successfully completed
	,		

U.S. DEPARTMENT OF TRANSPORTATION Saint Lawrence Seaway Development Corporation PERFORMANCE APPRAISAL PLAN

Section 1 IDENTIFYING INFORMATION				
			Position Title/Pay Plan/Series/Grade	
Hauer, Susan H.		Safety & Occupational Health Manager/GS/0018/12		
Organization and Location SLSDC / Office of Engineering and M	aintenance	☐ Supervisory ☐ Non-Supervisory		
Appraisal Period		From: 06	3/01/2016	To: 05/31/2017
	Section 1-A PERFORM	CONTRACTOR OF STREET,	The second secon	
Signatures certify that the plan wa	as discussed with the employee and the	employee was	s provided a c	
Employee Signature	sau Xauer			Date 7-20-16
Rating Official Signature		0		Date 7/29/14
Reviewing Official Signature (I		V		Date 8/3/16
Employee Input into Developm	nent of Standards (Indicate whether			yee involvement): X Yes No
	Section 1-B M	ID-YEAR RE	VIEW	
Signatures certify that the employ be used to document the Progres	ree's progress toward meeting the job p	erformance ex	pectations wa	s discussed with the employee. Section 4 may
Employee Signature	Quel			Date 12/29/10
Rating Official Signature		· /		Date 12/29/16
	Section 1-C SUMMARY PERFOR		ALTERNATION AND DESCRIPTION OF THE PERSON.	
To assign the summary performa	nce rating, select the highest level met b			
☐ Outstanding	Individual critical job elements constituting at least 70 percent of performance must be rated "Outstanding" with no critical job element rated below "Achieved Results".			
Exceeded Expectations	Individual critical job elements constituting at least 70 percent or more of performance must be rated no lower than "Exceeded Expectations" and no critical job element rated below "Achieved Results".			performance must be rated no lower than "Exceeded
☑ Achieved Results	All individual critical job elements must be rated at least "Achieved Results".			
Unacceptable One or more critical job elements are rated "Unacceptable"				
Reason for Rating: Annual Rating of Record Employee Reassigned Within Grade Increase Employee Leaving Agency Other (Specify)				
Section 1-D ACKNOWLEDGEMENT				
I acknowledge receipt of this rati	ng; however, my signature on this form	does not imply	agreement or	disagreement with the rating received or that I
Employee Signature	Employee Signature Wasan(Xuuu Date 8.7. 1017			
Rating Official Signature			Date	17/2017
Reviewing Official Signature	If Applicable)		Date 8	/8/17

	Section 2 JOB ELEMENT WITH PERFO	RMANCE STANDARDS	
The employees a sufamous as a sufamous	nust include at least one critical element aligned	with DOT. OA and/or organiza	ation/unit goals or objectives.
The employee's performance plan r	r: Ensure the U.S. proactively maintains its	critical transportation infra	structure in a state of good
Honoir			
epair. SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring			
that plans and decisions sustain	long-term reliability and availability of the	U.S. sectors of the St. Lawre	ence Seaway.
The provide and according sustains	Section 2-A Job Ele	ment	
JOB ELEMENT1OF_4	⊠ Critical	☐ Non-Critical	Weight : 30%
Primary work assignment or resp	onsibility of the employee that supports the	"Achieved Results" level of	Performance:
Element: Policies and Procedur impact of safety/health/environ procedures; serves as chair for n procedural changes; and keeps sergarding regulations, policies a guidoline revisions are feasible as	res - Analyzes Federal, State and local laws mental regulatory changes on facilities and nonthly safety and health committee; prep supervisor informed of progress and issues and procedures. Evaluations are thorough vand include input from management and entry and action items are effectively coordinates.	and regulations (i.e. DOT, O operations; prepares revise ares reports as required; co Typically prepared to answ with no major requirements mployees as required. Safe	SHA, NYSDEC); evaluates ed guidelines for policies and ommunicates policy and wer technical questions s overlooked. Proposed ty and health committee
	Section 2-B Job Element Perform	nance Standard(s)	
Exceeded Expectations standard and ra and has made significant contributions Exceeded Expectations: This is a leve exceeded expectations in major goals. Achieved Results: This is a level of go timeliness of the employee's work under element. Unacceptable: The employee's work p	el of unusually good performance and surpassed who The quality, quantity, and/or timeliness of the employ bod, sound performance and positive response of the er this element are that of a fully competent employed performance does not meet the minimum requirement imployee's work under this element is not adequate for would remain unresolved without prompting, or is unp	It is expected in the job element a ee's work are consistently above employee in accomplishing assign. The employees work products for the Achieved Results level are the position. Work contains some rofessional, requiring rewrites or reference in the position.	s defined by performance targets and average. Inments. The quality, quantity, and ully meet the requirements of the documents are the requirements of the e inaccuracies, is partially complete or
taken,	Section 2-C Job Eleme	nt Rating	
Outstanding	Exceeded Expectations	Achieved Resulf	ts Unacceptable
	Section 2-D Narrative Summar	y of Performance	
In support of the rating above, describe spe	cific examples of actual performance above or below the Ac	hieved Results Level. If additional sp	ace is needed, please provide attachments.
During this performance period CJE that need improvement ind Preparing quality and Keeping her superviso	Sue has overall met the requirements to	pe rated as "Achieved Resu , and	
*There have been no late reports or communications required by OST-Washington, no late reporting related to regulatory requirements and all communication directives are up to date inclusive of a monthly Seaway Soundings articles and numerous bulletin boards throughout the Locks and MB.			
*Additional comments continued from S	Section 5		

	Section 2 JOB ELEMENT WITH PERFO	RMANCE STANDARDS	L. Linghing
The employee's performance plan mi	ust include at least one critical element aligned	with DOT, OA and/or organization/unit go	oals or objectives.
	lability: Maintain user confidence in the congeterm reliability and availability of the	ontinued viability of the Jeaway Syst	
	Section 2-A Job Ele	ment	
JOB ELEMENT _2 OF.4_	N7. 0.18d	Non-Critical	Weight: 30%
JOB ELEMENT _Z OT 4	onsibility of the employee that supports the	"Achieved Results" level of Performa	nce:
Element: Compliance - Verifies of job hazard analysis and conducts use of personal protective equipment of storage/disposal program; and pand control). Typically prepared hazard analysis and inspections and inspections and inspections.	compliance with safety/health/environme inspections of workplace conditions and ment (PPE); evaluates, recommends and crovides guidance for other environmental to answer technical questions regarding care thorough with no major deficiencies of a timely manner. Hazardous waste storage contractors to meet implementation and	ntal regulations, policies and procedurations, policies and procedurations; identifies hazardous expossordinates corrective actions; manage programs (i.e. bulk petroleum storage compliance with regulations, policies verlooked. Recommended correctives a/disposal and other environmental procedures.	ures and monitors ges hazardous waste ge, spill prevention and procedures. Job
	Section 2-B Job Element Perfor	mance Standard(s)	
exceeded Expectations standard and read and has made significant contributions in Exceeded Expectations: This is a level exceeded expectations in major goals. Achieved Results: This is a level of go timeliness of the employee's work under element. Unacceptable: The employee's work probability quantity or timeliness of the endingers.	onally, high-quality performance. The quantity, quality leave room for improvement, the employee's post of mission accomplishment. The quality good performance and surpassed who the quality, quantity, and/or timeliness of the employed, sound performance and positive response of the this element are that of a fully competent employed performance does not meet the minimum requirement and provided the provided after the original deadling or within a short period after the original deadling femployees is not considered, without much promp	at is expected in the job element as defined byee's work are consistently above average. e employee in accomplishing assignments. The The employees work products fully meet the soft the Achieved Results level and contains or the position. Must be continuously prompted the Employee work issues are not handled proting by supervisor. (Corrective action must be	y performance targets and ne quality, quantity, and he requirements of the major deficiencies. The d to complete employee poerly or resolved at the
lowest level. Recognition and reward o	Section 2-C Job Elem	ent Rating	T
☐ Outstanding	Exceeded Expectations		☐ Unacceptable
	Section 2-D Narrative Summa	ry of Performance	ed nlease provide attachments.
In support of the rating above, describe spe	ecific examples of actual performance above or below the	Achieved Results Level. If additional space is need	au, piado provido allacimento.
	d Sue has overall met the requirements to ring on PPE. Additionally, Sue has mainta	Is a metad as "Achieved Results" for t	his CJE. Sue has

	Section 2 IOB ELEMENT WITH PERFO	DRMANCE STANDARDS					
Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS The employee's performance plan must include at least one critical element aligned with DOT, OA and/or organization/unit goals or objectives.							
SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.							
	Section 2-A Job Ele	ment					
JOB ELEMENT _3 OF_4		Non-Critical	Weight: 20%				
Primary work assignment or resp	onsibility of the employee that supports the	"Achieved Results" level of Performa	ance:				
Primary work assignment or responsibility of the employee that supports the "Achieved Results" level of Performance: Element: Education and Training - Manages safety/health/environmental educational and training programs; monitors improvements in safety equipment and procedures; develops and presents program curriculum; works with contractors to supplement in-house educational and training resources; conducts new employee safety orientations; and coordinates employee "tool-box" safety meetings. Typically prepared to answer technical questions regarding educational and training requirements. Developed programs are timely, effective and meet current regulatory and policy requirements. Contractor provided programs are reviewed and coordinated with management and employees. Employee requirements and participation are properly documented and updated regularly. "Tool-box" safety meetings are regularly monitored and evaluated with supervisors.							
	Section 2-B Job Element Perfor	mance Standard(s)					
Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment. Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average. Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element. Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Work contains some inaccuracies, is partially complete, or is dependent on other staff to complete. Employees are not given a sufficient level of autonomy, which results in work delays. (Corrective action must be taken.)							
	Section 2-C Job Eleme	ent Rating					
Outstanding	Exceeded Expectations	Achieved Results	Unacceptable				
	Section 2-D Narrative Summa	y of Performance					
In support of the rating above, describe specific examples of actual performance above or below the Achieved Results Level. If additional space is needed, please provide attachments. During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Areas under this CJE that need improvement include: Improvements to inventorying and providing guidance on the application of safety equipment, and Improvements to safety procedures such as Lockout/Tagout and Confined Spaces.							
application. LOTO and Confined Space program hav		al guidance, with the assistance of outside vendors, has	s been provided related to the				
*Additional comments continued from S	ection 5						

-	Section 2 JOB ELEMENT WITH PERFORMANCE STANDARDS						
	must include at least one critical element align						
SLSDC Goal - Reliability And Availability: Maintain user confidence in the continued viability of the Seaway System by ensuring that plans and decisions sustain long-term reliability and availability of the U.S. sectors of the St. Lawrence Seaway.							
	Section 2-A Job E	lement					
JOB ELEMENT 4 OF 4	Critical	☐ Non-Critical	Weight : 20%				
	ponsibility of the employee that supports th	e "Achieved Results" level of Perform	nance:				
Element: Accidents, Illnesses or Injuries - Investigates safety/health/environmental incidents; evaluates, recommends and coordinates corrective actions; prepares required documents and reports (i.e. incident reports, OSHA 300/300A, DOT survey); and manages occupational health conservation programs. Employee incident investigations are coordinated with supervisors. Root causes are properly evaluated and recommended corrective actions are feasible and timely. Trending data is effectively used when recommending policy and procedural changes. Documents and reports are accurate and reviewed with safety and health committee. Occupational health conservation programs are closely coordinated with employees and contractors. Employee screenings and required follow-up procedures are properly documented and updated regularly.							
	Section 2-B Job Element Performance	rmance Standard(s)					
Outstanding: This is a level of exceptionally, high-quality performance. The quantity, quality, and /or timeliness of the employee's work have clearly surpassed the Exceeded Expectations standard and rarely leave room for improvement, the employee's performance has added value to the organization to an unusual degree, and has made significant contributions to mission accomplishment. Exceeded Expectations: This is a level of unusually good performance and surpassed what is expected in the job element as defined by performance targets and exceeded expectations in major goals. The quality, quantity, and/or timeliness of the employee's work are consistently above average. Achieved Results: This is a level of good, sound performance and positive response of the employee in accomplishing assignments. The quality, quantity, and timeliness of the employee's work under this element are that of a fully competent employee. The employees work products fully meet the requirements of the element. Unacceptable: The employee's work performance does not meet the minimum requirements of the Achieved Results level and contains major deficiencies. The quality, quantity, or timeliness of the employee's work under this element is not adequate for the position. Must be continuously prompted to complete employee performance plans and appraisals on time, or within a short period after the original deadline. Employee work issues are not handled properly or resolved at the lowest level. Recognition and reward of employees is not considered, without much prompting by supervisor. (Corrective action must be taken.)							
	Section 2-C Job Elem	ent Rating					
☐ Outstanding	Exceeded Expectations	Achieved Results	Unacceptable				
	Section 2-D Narrative Summa						
in support of the rating above, describe spe	cific examples of actual performance above or below the A	Achieved Results Level. If additional space is need	ed, please provide attachments.				
During this performance period Sue has overall met the requirements to be rated as "Achieved Results" for this CJE. Areas under this CJE that need improvement include: • Quality and timely investigating and internal reporting and documentation of accidents and injuries, and • Timely review of incident reports with the safety and health committee. *Incident reports are reviewed on a quarterly basis. These reviews have been conducted per the protocol (See Safety Committee agenda and notes for evidence). All reporting milestones have been met. I have not been made aware of any changes to reporting time frames or received any feedback that there has been an issue with the quality of my work.							
AAAHII AAAA AAAAA AAAAA AAAAA AAAAA AAAAA AAAA							
*Additional comments continued from Section 5							

Section 5	3 '	TRAI	NING	IDENTIE	ICATION	VMD	CAPEED	DEVEL	ODMENT	(Optional)
Section .	J	IINAI	MING	IDENTIF	ICATION	AND	CAREER	DEVEL	OPWENT.	(Optional)

Identify technical and/or management training that could assist the employee in improving job performance. This may also be an appropriate opportunity to discuss and note developmental assignments, cross training or other career development activities which would better prepare this employee to meet the needs of the organization. This section is optional based on OA program guidance.

I will require recertification of my HAZWOPPER and Haz Mat certification which is required for the handling, shipping and inspection of hazardous waste. This expires in CY2017.

Section 4 MID-YEAR REVIEW DOCUMENTATION (Optional)

This section may be used by supervisor and employee to document discussions at the mid-point progress review to note changes in the performance plan and to record comments. Please note any areas in which the individual has excelled or needs improvement. Signatures should be placed in Section 1-B.

Section 5 RATING OFFICIAL OR EMPLOYEE INPUT FOR PERFORMANCE RATING (Optional)

Provide narrative comments from the rating official or employee regarding accomplishments during this performance year that contributed to the OA's Vision, Mission, and goals. If more space is needed, attach additional sheets as necessary or attach documents.

(Evaluator) stated that this performance review ONLY encompassed his tenure as Chief Engineer which began in November of 2016-it did not take into consideration any activities from July 2016 until November 2016 nor did he review or consult with the previous evaluator. "I know what I know and I know what I see" was his response when asked what his criteria for this evaluation was based on. The previous evaluator who was responsible for almost half of the years supervision, did not participate in this evaluation nor was he consulted, per limited to the previous evaluator.

- Not taken into consideration as part of this evaluation are the following milestones: ~reduction of recordable injuries by almost half from the previous calendar year
- ~creation of an Incident Review Board to facilitate a more thorough review of incidents and accidents
- ~creation of Near Miss reporting to continue our incident/accident reporting protocol
- ~implementation of a lead screening program and preliminary advances in protection of the Corporation by expanding the medical entry exams
- ~coordination and implementation of an internal CPR/AED program
- ~facilitation and minimization of potential citations related to an EPA inspection in August of 2016
- ~work with the Maintenance Group to design & install new directional and OSH signage at Eisenhower Lock & Visitor's Center along with participation in the preparation of the Visitors Center opening and entranceway improvements
- ~partner in the implementation of rescue boats at both Locks
- ~facilitate third party assessments & on site evaluations as part of the ongoing LOTO & Confined Space Programs
- ~addition of complete responsibility of the Medical Surveillance Program inclusive of administration, scheduling, review and distribution
- ~continual improvements to the PPE program with the addition of a jewelry component to the matrix and expansion of PPE products made available to employees (glasses, vests, winter wear)
- ~Identification of additional programs in need of implementation and lead on creating awareness of the lack of compliance related but not limited to:Arc Flash, Emergency Egress/lights/Fire Systems ~maintaining the highest rating within the DOT related to Program Evaluations with 91%
- ~participation in the Corporations newly formed Communication Committee as well as local SERWC Secretary
- ~expansion of the Safety Committee communications by beginning a separate meeting for Administration Building personnel

Please see individual ratings for additional comments (*) related to this Section.